

CWA Spreadsheet Instructions Projects with Lapsing Funds on June 30, 2018

General

Please do not make any changes to the form such as adding/deleting columns, rows, or merging cells. All information requested must be completed and submitted to the District Cooperative Work Agreement (CWA) Liaisons by **November 3, 2017**. **Late submittals will not be accepted and there is no appeals process to the Department of Finance's (DOF's) decisions.** We anticipate DOF to make a decision by **March 31, 2018**.

Notes:

- If a project number appears more than once, please provide information every time the project appears (you may copy and paste).
- Submit the spreadsheet in **Excel** to the CWA Liaison and PDF the project manager's signature.
- The data was extracted from Caltrans' accounting system in July **2017**. Additional invoices may have been processed since this time.

Instructions:

1. District
2. Agency
3. Work Performed and Location
4. Federal Project #
5. Project Code
6. Phase Code
7. Fund Description
8. Encumbrance Amount: Total funds eligible for reimbursement on this encumbrance.
9. Reimbursed: Eligible expenditures reimbursed by Caltrans.
10. Unliquidated Balance: Encumbrance Amount, less Reimbursed. These are the funds that will lapse on June 30, 2018.
11. CTC Lapse Date: This column only applies to individual allocations from the California Transportation Commission (CTC) and includes State Transportation Improvement Program (STIP), STIP Transportation Enhancements, and state-funded seismic retrofit encumbrances. The date in this column indicates when timely use of funds (TUF) will lapse as noted in Column 11 and/or in the footnote described. The local agency must have **both**: CTC authority and state budget authority (via the CWA request) to continue to receive reimbursements. Please consult with your District Local Assistance Engineer if you will be pursuing a time extension request with the CTC.

12. Requesting CWA? (Yes/No): Choose from “Yes” or “No.” If the funds are at risk of lapsing and will not be billed by **December 31, 2017**, we highly recommend the Local Agency request a CWA to extend the lapsing date. Please keep in mind the original scope of the project must be unchanged as “The work to be completed is consistent with the intent of the original appropriation...” per Section 16304.3 of the California Government Code.
13. Delay Code: Enter the appropriate Delay Code number from the list.
<http://www.dot.ca.gov/hq/LocalPrograms/CWA/Cycle15/Reason-for-Delay-Codes-2017.pdf>
14. Reason for Delay: The justification provided must adequately describe an unforeseen and extraordinary circumstance beyond the control of the Local Agency that resulted in a delay. Please include the months, and/or years associated with the delay(s) and future milestones to expend this encumbrance. **Caltrans will not accept inadequate staffing issues as a delay.**
15. Obstacles to Future Completion: Responses must focus on potential delays that may occur due to future events/issues for this specific encumbrance.
16. Consequences if CWA not approved: Describe what would happen if the CWA is not approved by DOF. For example, if a CWA is not approved will the agency violate NEPA, will a structurally deficient or obsolete bridge affect public safety, or will continued congestion lead to poor air quality, etc.?
17. Date Funding expended if CWA approved: Please indicate the month and the year the local agency anticipates to receive final reimbursement for this funding. Please keep in mind that DOF cannot approve beyond the maximum extension period of eight years for CWAs (June 30, 2020).
18. Contact Name: Please provide the contact name.
19. Contact E-Mail and Number: Please provide the contact’s e-mail and phone number.

The Project Manager must sign the request. The intent is to ensure the project manager understands the potential financial responsibility based on CWA approval/denial by DOF: 1) If a CWA is approved, funding must be reimbursed before the maximum extension period of eight years for a CWA, and 2) If a CWA is denied, the agency will be financially responsible to fund the remaining encumbrance balance with local funds.